



PTO/SB/21 (09-04)

**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number	10/056,749
Filing Date	January 22, 2002
First Named Inventor	Spindler, Stephen R.
Art Unit	1632
Examiner Name	Carla Myers
Attorney Docket Number	023070-010130US

ENCLOSURES (Check all that apply)

- | | | |
|--|---|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form-PTO/SB/171 in duplicate | <input type="checkbox"/> Drawing(s) | <input type="checkbox"/> After Allowance Communication to TC |
| <input type="checkbox"/> Fee Attached | <input type="checkbox"/> Licensing-related Papers | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences |
| <input type="checkbox"/> Amendment/Reply | <input type="checkbox"/> Petition | <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final | <input type="checkbox"/> Petition to Convert to a Provisional Application | <input type="checkbox"/> Proprietary Information |
| <input type="checkbox"/> Affidavits/declaration(s) | <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | <input type="checkbox"/> Status Letter |
| <input type="checkbox"/> Extension of Time Request | <input type="checkbox"/> Terminal Disclaimer | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): |
| <input type="checkbox"/> Express Abandonment Request | <input type="checkbox"/> Request for Refund | 1)-Request for Correction of Inventorship |
| <input type="checkbox"/> Information Disclosure Statement | <input type="checkbox"/> CD, Number of CD(s) _____ | 2)-Statement By Joseph M. Dhahbi |
| | <input type="checkbox"/> Landscape Table on CD | 3)-Executed Declaration Using An ADS |
| <input type="checkbox"/> Certified Copy of Priority Document(s) | | 4)-Supplemental ADS |
| <input type="checkbox"/> Reply to Missing Parts/ Incomplete Application | | 5)-Consent of Assignee to Correction of Inventorship |
| <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53 | | 6)-3.73(b) Statement w/Assignment copy |
| | | 7)-Return Postcard |
- Remarks: The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.

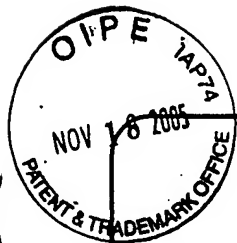
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name	Townsend and Townsend and Crew LLP		
Signature			
Printed name	Jean M. Lockyer, Ph.D.		
Date	November 16, 2005	Reg. No.	44,879

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Signature		
Typed or printed name	Malinda C. Dagit	Date 16 Nov. 2005

**PROCESSING FEE**
Under 37 CFR 1.17(i)
TRANSMITTAL

(Fees are subject to annual revision)

Send completed form to: Commissioner for Patents
P.O. Box 1450, Alexandria, VA 22313-1450

Application Number	10/056,749
Filing Date	January 22, 2002
First Named Inventor	Spindler, Stephen R.
Art Unit	1632
Examiner Name	Carla Myers
Attorney Docket Number	02307O-010130US

Enclosed is a paper filed under 37 CFR \$1.48 that requires a processing fee (37 CFR 1.17(i)).
Payment of \$ 130 is enclosed.

This form should be included with the above-mentioned paper and faxed or mailed to the Office using the appropriate Mail Stop, if applicable. For transmittal of petition fees under 37 CFR 1.17(f), (g) or (h), see form PTO/SB/17p.

Payment of Fees (small entity amounts are NOT available for the processing fees)

- ☒ The Commissioner is hereby authorized to charge the following fees to Deposit Account No. 20-1430 :
☒ processing fee under 37 CFR 1.17(i) ☒ any deficiency of fees and credit of any overpayments
Enclose a duplicative copy of this form for fee processing.

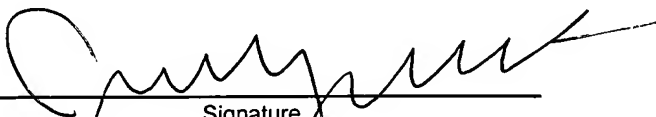
☐ Check in the amount of \$ _____ is enclosed.

☐ Payment by credit card (Form PTO-2038 or equivalent enclosed). Do not provide credit card information on this form.

Processing Fees under 37 CFR 1.17(i): Fee \$130 Fee Code 1808 for all,
Except for § 1.221 papers (Fee Code 1803)

For papers filed under:

- § 1.28(c)(3) - for processing a non-itemized fee deficiency based on an error in small entity status.
- § 1.41 - for supplying the name or names of the inventor or inventors after the filing date without an oath or declaration as prescribed by § 1.63, except in provisional applications.
- ✓ § 1.48 - for correcting inventorship, except in provisional applications.
- § 1.52(d) - for processing a nonprovisional application filed with a specification in a language other than English.
- § 1.53(b)(3) - to convert a provisional application filed under § 1.53(c) into a nonprovisional application under § 1.53(b).
- § 1.55 - for entry of late priority papers.
- § 1.99(e) - for processing a belated submission under § 1.99.
- § 1.103(b) - for requesting limited suspension of action, continued prosecution application (§ 1.53(d)).
- § 1.103(c) - for requesting limited suspension of action, request for continued examination (§ 1.114).
- § 1.103(d) - for requesting deferred examination of an application.
- § 1.217 - for processing a redacted copy of a paper submitted in the file of an application in which a redacted copy was submitted for the patent application publication.
- § 1.221 - for requesting voluntary publication or republication of an application. **Fee Code 1803**
- § 1.291(c)(5) - for processing a second or subsequent protest by the same real party in interest.
- § 1.497(d) - for filing an oath or declaration pursuant to 35 U.S.C. 371(c)(4) naming an inventive entity different from the inventive entity set forth in the international stage.
- § 3.81 - for a patent to issue to assignee, assignment submitted after payment of the issue fee.



Signature
Jean M. Lockyer, Ph.D.

Typed or printed name

November 16, 2005

Date

44,879

Registration No., if applicable



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P.O. Box 1450
Alexandria, VA 22313-1450

On 16 Nov. 2005

TOWNSEND and TOWNSEND and CREW LLP

By: Malinda Dagit

PATENT
Attorney Docket No.: 023070-010130US
Client ref. 2000-178-3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

SPINDLER, Stephen R.

Application No.: 10/056,749

Filed: January 22, 2002

For: INTERVENTIONS TO MIMIC
THE EFFECTS OF CALORIE
RESTRICTION

Customer No.: 20350

Confirmation No.: 1622

Examiner: Carla Myers

Technology Center/Art Unit: 1632

REQUEST FOR CORRECTION OF
INVENTORSHIP UNDER 37 CFR §1.48(a)

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

It is respectfully requested that the inventorship in the above-identified application be amended to include a second inventor: Joseph M. Dhahbi. The following required documents are enclosed:

(1)-STATEMENT BY JOSEPH M. DHAHBI UNDER 37 CFR 1.48
executed by added inventor;

(2)-DECLARATION executed by both inventors with attached
APPLICATION DATA SHEET;

(3)-CONSENT OF ASSIGNEE TO CORRECTION OF
INVENTORSHIP with STATEMENT UNDER 37 CFR 3.73(b) by the Regents of the
University of California;

11/21/2005 MGE BREM1 00000042 201430 10056749

01 FC:1464

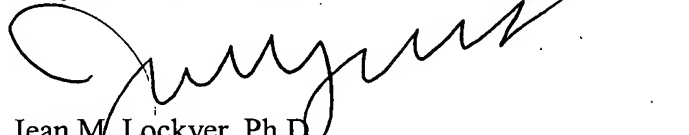
130.00 DA

SPINDLER, Stephen R.
Application No.: 10/056,749
Page 2

PATENT

4)-FEE TRANSMITTAL PTO/SB/17i with authorization to deduct the
processing fee under 37 CFR §1.17(i) from our deposit account (in duplicate).

Respectfully submitted,



Jean M. Lockyer, Ph.D.
Reg. No. 44,879

TOWNSEND and TOWNSEND and CREW LLP
Two Embarcadero Center, 8th Floor
San Francisco, California 94111-3834
Tel: 415-576-0200
Fax: 415-576-0300
JML/mcd
60615507 v1



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Alexandria, VA 22313-1450

On 16 Nov. 2005

TOWNSEND and TOWNSEND and CREW LLP

By: Malinda Dept

PATENT
Attorney Docket No.: 023070-010130US
Client ref. 2000-178-3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

SPINDLER, Stephen R.

Application No.: 10/056,749

Filed: January 22, 2002

For: INTERVENTIONS TO MIMIC
THE EFFECTS OF CALORIE
RESTRICTION

Customer No.: 20350

Confirmation No.: 1622

Examiner: Carla Myers

Technology Center/Art Unit: 1632

STATEMENT BY JOSEPH M. DHAHBI
UNDER 37 C.F.R. §1.48

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

I, Joseph M. Dhahbi, state that it was through error without deceptive intent that I was not named as an inventor in the above-referenced patent.

Dated: 11/4/05

By

Joseph M. Dhahbi
Joseph M. Dhahbi



**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN
APPLICATION DATA SHEET (37 CFR 1.76)**

**Title of
Invention**

INTERVENTIONS TO MIMIC THE EFFECTS OF CALORIE RESTRICTION

As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or
☒ Application No. 10/056,749, filed on January 22, 2002,
☐ as amended on _____ (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT International filing date of the continuation-in-part application.

All statements made herein of my/our own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

FULL NAME OF INVENTOR(S)

Inventor one: Stephen R. Spindler

Signature: _____

Date: 11/7/05

Citizen of: United States

Inventor two: Joseph M. Dhahbi

Signature: _____

Date: _____

Citizen of: United States

Inventor three: _____

Signature: _____

Date: _____

Citizen of: _____

Inventor four: _____

Signature: _____

Date: _____

Citizen of: _____

☐ Additional inventors or a legal representative are being named on _____ additional form(s) attached hereto.



**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN
APPLICATION DATA SHEET (37 CFR 1.76)**

**Title of
Invention**

INTERVENTIONS TO MIMIC THE EFFECTS OF CALORIE RESTRICTION

As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or
☒ Application No. 10/056,749, filed on January 22, 2002,
☐ as amended on _____ (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT International filing date of the continuation-in-part application.

All statements made herein of my/our own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

FULL NAME OF INVENTOR(S)

Inventor one: Stephen R. Spindler

Date: _____

Signature: _____

Citizen of: United States

Inventor two: Joseph M. Dhahbi

Date: 11/4/05

Signature: Joseph Dhahbi

Citizen of: United States

Inventor three: _____

Date: _____

Signature: _____

Citizen of: _____

Inventor four: _____

Date: _____

Signature: _____

Citizen of: _____

☐ Additional inventors or a legal representative are being named on _____ additional form(s) attached hereto.



Supplemental Application Data Sheet

Application Information

Application number::	10/056,749
Filing Date::	01/22/02
Application Type::	Regular
Subject Matter::	Utility
Suggested classification::	
Suggested Group Art Unit::	
CD-ROM or CD-R??::	
Number of CD disks::	
Number of copies of CDs::	
Sequence Submission::	
Computer Readable Form (CRF)?::	
Number of copies of CRF::	
Title::	INTERVENTIONS TO MIMIC THE EFFECTS OF CALORIE RESTRICTION
Attorney Docket Number::	02307O-010130US
Request for Early Publication::	No
Request for Non-Publication::	No
Suggested Drawing Figure::	
Total Drawing Sheets::	13
Small Entity?::	Yes
Latin name::	
Variety denomination name::	
Petition included?::	No
Petition Type::	
Licensed US Govt. Agency::	
Contract or Grant Numbers One::	
Secrecy Order in Parent Appl.::	No

Applicant Information

Applicant Authority Type:: Inventor
Primary Citizenship Country:: US
Status:: Full Capacity
Given Name:: Stephen
Middle Name:: R.
Family Name:: Spindler
Name Suffix::
City of Residence:: Riverside
State or Province of Residence:: CA
Country of Residence:: US
Street of Mailing Address:: 6184 Omega Street
City of Mailing Address:: Riverside
State or Province of mailing address:: CA
Country of mailing address:: US
Postal or Zip Code of mailing address:: 92506

Applicant Authority Type:: Inventor
Primary Citizenship Country:: US
Status:: Full Capacity
Given Name:: Joseph
Middle Name:: M.
Family Name:: Dhahbi
Name Suffix::
City of Residence:: Alameda
State or Province of Residence:: CA
Country of Residence:: US
Street of Mailing Address:: 851 West Midway Avenue
City of Mailing Address:: Alameda
State or Province of mailing address:: CA

Country of mailing address:: US
Postal or Zip Code of mailing address:: 94501

Correspondence Information

Correspondence Customer Number:: 20350

Representative Information

Representative Customer Number:: 20350

Domestic Priority Information

Application::	Continuity Type::	Parent Application::	Parent Filing Date::
This Application	Continuation of	09/648,642 (now US Patent No. 6,406,853)	08/25/2000
<u>09/648,642</u>	Continuation in part of	09/471,224	12/23/99

Foreign Priority Information

Country:: Application number:: Filing Date::

Assignee Information

Assignee Name:: The Regents of the University of California
Street of mailing address:: 1111 Franklin Street, 12th Floor
City of mailing address:: Oakland
State or Province of mailing address:: California
Country of mailing address::
Postal or Zip Code of mailing address:: 94607-5200



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Alexandria, VA 22313-1450

On

16 Nov. 2005

TOWNSEND and TOWNSEND and CREW LLP

By:

Malinda Wright

PATENT
Attorney Docket No.: 023070-010130US
Client ref. 2000-178-3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

SPINDLER, Stephen R.

Application No.: 10/056,749

Filed: January 22, 2002

For: INTERVENTIONS TO MIMIC
THE EFFECTS OF CALORIE
RESTRICTION

Customer No.: 20350

Confirmation No.: 1622

Examiner: Carla Myers

Technology Center/Art Unit: 1632

CONSENT OF ASSIGNEE TO
CORRECTION OF INVENTORSHIP
UNDER 37 C.F.R. §1.48

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

The Regents of the University of California, owner by assignment from the original named inventor, Stephen R. Spindler, hereby consents to correction of the inventorship in the above-identified application to include inventor Joseph M. Dhabbi. A Statement Under 37 CFR 3.73(b) is attached.

The Regents of the University of California

Dated:

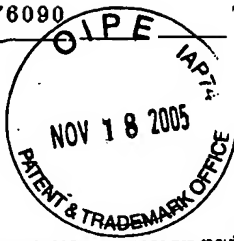
November 14, 2005

By

Linda S. Stevenson

Name: Linda S. Stevenson

Title: Manager, Patent Prosecution



PTO/SB/95 (08-00)

Approved for use through 10/31/2002. OMB 0851-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Attorney Docket No. 023070-010130US

STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: The Regents of the University of CaliforniaApplication No./Patent No.: 10/056,749Filed/Issue Date: 01/22/02Entitled: Interventions to Mimic the Effects of Calorie RestrictionThe Regents of the University of California, a university

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by percentage) of its ownership interest is _____%

In the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 013035, Frame 0057, *for* which a copy thereof is attached. *and*

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.

NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

November 14, 2005
Date

Linda S. Stevenson
Typed or printed name

Linda S. Stevenson
Signature

Manager, Patent Prosecution
Title

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

ASSIGNMENTU.C. Case No. 2000-178-3

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. Stephen R. Spindler 2. Joseph M. Dhahbi
 3. _____ 4. _____

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located 1111 Franklin St., 12th Floor, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

INTERVENTIONS TO MIMIC THE EFFECTS OF CALORIE RESTRICTION

and which is found in

- (a) _____ U.S. provisional application filed herewith and listing the above-named persons as inventors
 (b) _____ U.S. patent application filed herewith and listing the above-named persons as inventors
 (c) X _____ U.S. patent application serial no. 10/056,749, filed on January 22, 2002
 (d) _____ U.S. Patent No.: _____, issued _____

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

Signature of Inventor(s)

_____ day of _____, 20____

Stephen R. Spindler

4th day of Nov, 2005

Joseph M. Dhahbi

rev 7/24/00
 SF 150574 v1
 60615489 v1

— NOT FOR RECORDATION —